

**RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT**

**STATEWIDE AMENDMENT**

**MUNICIPAL SCHEDULE**

**STANDARD-3. BUDGET AND FISCAL RECORDS**

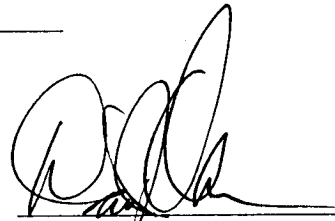
**STANDARD-13. PERSONNEL RECORDS**

Amend the Municipal Records Retention and Disposition Schedule by adding item 62a, Powell Bill Records, and amending item 61, Payroll, and item 62 Payroll Deduction Records, in Standard-3. Budget and Fiscal Records, as shown on substitute, page 20. Also, replace Standard-13. Personnel Records, with substituted pages, 53-59a, dated February 25, 2002.

**APPROVAL RECOMMENDED**

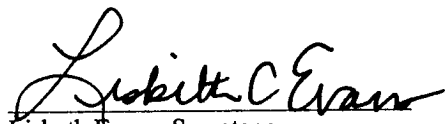
\_\_\_\_\_  
City /Town Clerk

\_\_\_\_\_  
Chief Administrative Officer  
City Manager

  
\_\_\_\_\_  
David Olson, Director  
Division of Historical Resources

**APPROVED**

\_\_\_\_\_  
Mayor

  
\_\_\_\_\_  
Lisbeth Evans, Secretary  
Department of Cultural Resources

February 25, 2002

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

58. **MONTHLY BUDGET REPORTS FILE.** Monthly budget reports and related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

59. **PAID CHECKS, PAID BILLS/VOUCHERS FILE.** Documentation of individual account transactions.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

60. **PARKING FILE.** Records concerning parking facilities and parking bonds.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

- \*61. **PAYROLL FILE.** Payroll records containing information such as the name, social security number, number of hours worked, compensation rate, deductions, and total wages paid each employee per payroll period. Includes individual and group employee earning records and payroll registers showing earnings and deductions for each pay period.

DISPOSITION INSTRUCTIONS:

- a) Transfer administrative data documenting personnel actions to appropriate individual personnel files when action is approved.
- b) Destroy in office remaining records after 7 years and when released from all audits, whichever occurs later.

- \*62. **PAYROLL DEDUCTIONS FILE.** Records used to start, modify, or stop all voluntary or required deductions from payroll. Includes bank payments, savings plans, insurance, association dues, W-4 forms, orders of garnishment, etc. Used as proof the employee approved of the deduction(s).

DISPOSITION INSTRUCTIONS: Destroy in office 7 years after being canceled or superseded.

- \*62a. **POWELL BILL RECORDS.** Records include certified statements, expenditures reports, information sheets, financial statement submitted to the North Carolina Department of Transportation and all other related documentation.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years if released from all audits.

63. **PRICE QUOTATIONS FILE.** Documents listing cost of goods and services.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

64. **PROCUREMENTS AND PURCHASING FILE.** Records concerning procurements and purchases for the office. File may include purchase orders and requests, correspondence, shipping information, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years and when released from all audits, whichever occurs later.

65. **PURCHASING REPORTS FILE.** Listing of purchase orders.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

\*Amended February 25, 2002

**STANDARD-13. PERSONNEL RECORDS.** Official records and materials created and accumulated incident to the employment, qualifications, training, and pay status of municipal employees.

1. **ABOLISHED POSITION FILE.** Documents concerning positions, which have been abolished.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

2. **ADDRESS FILE.** Listing of employee's addresses and telephone numbers.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

3. **AFFIRMATIVE ACTION FILE.** Documents concerning plans, outlines, timetables, goals, objectives, purposes, and reports that are used to document any agency's compliance with federal affirmative action regulations. (Per 29 CFR 30.8(e) and 676.35(b)).

DISPOSITION INSTRUCTIONS:

- a) Destroy in office reports, analyses, and statistical data after 5 years.
- b) Destroy in office affirmative action plans 5 years from date superseded.

4. **AFFIRMATIVE ACTION PLANS.** Per 29 CFR 1608.4.

DISPOSITION INSTRUCTIONS: Retain per 29 CFR 1608.4.

5. **APPLICATIONS, RESUMES AND INTERVIEW RECORDS.** Completed application forms for employment, with resumes, interview and testing records, evaluation data, letters of recommendation, background check reports, and other supporting documents. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

DISPOSITION INSTRUCTIONS:

- a) Transfer records concerning individuals hired to appropriate personnel jacket (item 45) when individual accepts employment.
- b) Destroy unsolicited applications/resumes in office 2 years after receipt.
- c) Destroy interview documentation (notes, test scores, question lists, etc.) after 2 years per 29 CFR 1602.14 (1992).
- d) Destroy in office records concerning individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

6. **CAFETERIA PLAN (FLEXIBLE SPENDING) RECORDS.**

DISPOSITION INSTRUCTIONS:

- a) Destroy in office administrative records after all audits plus 3 years.
- b) Destroy yearly enrollment records after 1 year.
- c) Destroy claim records and receipts after all audits plus 3 years.

7. **COBRA RECORDS (CONSOLIDATED OMBUDSMAN BUDGET RECONCILIATION ACT)**. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

DISPOSITION INSTRUCTIONS: Destroy in office 3 years from date eligibility ended.

8. **COMPREHENSIVE EMPLOYMENT AND TRAINING ACT (CETA) RECORDS**. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records). (Per 20 CFR 676.35(b) and 29 CFR 30.8(e)).

DISPOSITION INSTRUCTIONS: Destroy in office 5 years from the date of enrollment.

9. **CORRESPONDENCE/MEMORANDA (PERSONNEL)**. Office correspondence and memorandums concerning personnel related matters.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

10. **COURT-ORDERED COMMUNITY SERVICE RECORDS**.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year from date of completed service.

11. **DEFERRED COMPENSATION FILE**. Information concerning the deferred compensation program for employees. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

12. **DISABILITY SALARY CONTINUATION CLAIMS**. Forms used by disabled employees to apply for salary continuation benefits. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

DISPOSITION INSTRUCTIONS:

- a) Transfer original forms to Local Government Retirement System for action when received.
- b) Destroy in office reference copies after 1 year.

13. **DISCIPLINARY FILE**. Correspondence and other records concerning disciplinary action taken against employees. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

14. **DRUG AND ALCOHOL PROGRAMS FILE**. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records). (47 CFR 382.401D).

DISPOSITION INSTRUCTIONS:

- a) Destroy positive test results in office after 5 years.
- b) Destroy negative test results in office after 1 year.
- c) Destroy collection logbooks and training records in office after 2 years.
- d) Destroy equipment calibration, evaluations and annual summaries in office after 5 years.

15. **DUAL EMPLOYMENT FILE**. Information concerning employees engaged in dual employment. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

16. **EDUCATIONAL LEAVE AND REIMBURSEMENT FILE.** Documents used to request educational leave and/or tuition reimbursement. (Comply with applicable provisions of 20 USC 1232g regarding the confidentiality of student records).

DISPOSITION INSTRUCTIONS:

- a) Destroy in office records concerning approved requests when released from all audits.
- b) Destroy in office records concerning disapproved requests 6 months after disapproval.

17. **EMPLOYEE CERTIFICATION AND QUALIFICATION RECORDS.** Records concerning certification or qualification as required for employment, continued employment, or promotion. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

18. **EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES.** Includes records listing employees, their job titles, work locations, phone numbers, e-mail address, and similar information.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

19. **EMPLOYEE BENEFITS REGISTER.**

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

20. **EMPLOYEE EDUCATIONAL ASSISTANCE PROGRAM RECORDS.** Includes records requesting tuition assistance, repayments, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after completion, denial, repayment, and removal from program or until audited, whichever is later.

21. **EMPLOYEE ELIGIBILITY RECORDS.** Includes the United States Immigration and Naturalization Services, Employment Eligibility Verification forms (I-9) created in accordance with 8 CFR 274a.2 (1993) and 8 USA 1324a.

DISPOSITION INSTRUCTIONS:

- a) Destroy certificates, I-9 forms, statements, etc. in office 3 years after individual was hired or 1 year from date of separation, which is longer.
- b) Destroy registers in office after 2 years.

22. **EMPLOYEE EXIT INTERVIEW RECORDS.**

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends or 3 years, whichever occurs first.

23. **EMPLOYEE HEALTH CERTIFICATES.** Includes health or physical examination reports or certificates created to aid in the selection, promotion, or transfer of the applicants or employees. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years per 29 CFR 1602.31.

24. **EMPLOYEE MEDICAL RECORDS.** Records concerning asbestos, toxic substances, and bloodborne pathogen exposure, medical examinations required by state or federal law, and records of injury or illness. (Does not include Worker's Compensation or health insurance claim records.) (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records). (Per 29 CFR 1904.6 & 1910). **Retention Note: Records must be maintained separately from an employee's personnel jacket.**

**DISPOSITION INSTRUCTIONS:**

- a) Destroy exposure records 40 years from date of exposure or 30 years from date of separation, whichever occurs later if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.
- b) Destroy remaining records in office after 5 years.

25. **EMPLOYEE PENSION AND BENEFITS PLANS.** Includes plans and related records outlining the terms of employee pension plans; life, health, and disability insurance, seniority and merit systems; and deferred compensation plans, including amendments. 29 CFR 1627.3(b)(2). (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

**DISPOSITION INSTRUCTIONS:** Destroy in office 1 year after plan is terminated.

26. **EMPLOYEE PENSION AND BENEFIT PLAN ENROLLMENT FORMS.** Forms providing personal identifying data, beneficiary information, option selection, and similar information.

**DISPOSITION INSTRUCTIONS:**

- a) Retain permanently pension and deferred compensation forms.
- b) Destroy life, health, and disability insurance forms 4 years after termination of coverage.

27. **EMPLOYEE SUGGESTIONS.** Information concerning suggestions of employees received through the ES System.

**DISPOSITION INSTRUCTIONS:** Destroy in office when administrative value ends.

28. **EMPLOYEE TRAINING AND EDUCATIONAL RECORDS.** Includes employee specific records (certificates, transcripts, test scores, etc.) and non-employee specific records (training manuals and aids, syllabi, course outlines, attendance rosters, etc.) relating to the training, testing, or continuing education of employees.

**DISPOSITION INSTRUCTIONS:**

- a) Destroy non-employee specific records when superseded or obsolete, but within 5 years.
- b) Transfer original employee specific records to Personnel Office for review and disposal.

29. **EMPLOYMENT LISTINGS, ADVERTISEMENTS AND ANNOUNCEMENTS.** (Per 29 CFR 1602.31).

**DISPOSITION INSTRUCTIONS:** Destroy in office after 2 years.

30. **EQUAL EMPLOYMENT OPPORTUNITY (EEO) COMPLIANCE CASE RECORDS.**

**DISPOSITION INSTRUCTIONS:** Destroy in office after 3 years.

31. **EQUAL EMPLOYMENT OPPORTUNITY (EEO) DISCRIMINATION COMPLAINT CASE RECORDS.** Records concerning discrimination complaints received and resolved by the county. (Per 29 CFR 1613.222 (1992)).

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after resolution of case if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

32. **EQUAL EMPLOYMENT OPPORTUNITY (EEO) REPORTS**. Information documenting agency's compliance with federal Equal Employment Opportunity Commission (EEOC) regulations. Includes EEO-1, EEO-4, EEO-5, and EEO-6 reports filed with the Equal Employment Opportunity Commission (EEOC) in accordance with the provision of Title VII and the Americans with Disabilities Act (ADA).

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

33. **EQUAL PAY RECORDS**. Includes reports, studies, aggregated or summarized data, and similar documentation compiled to comply with the Equal Pay Act. 29 CFR 1620.32.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

34. **FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS**. Records concerning leave taken, premium payments, employer notice, disputes with employees over FMLA and other related records. Comply with applicable provisions of G.S. §160-168; N.C. Administrative Code, Title 25, Section 1E.1411; and G.S. §132-1.1 regarding confidentiality of personnel records.

DISPOSITION INSTRUCTIONS: Destroy in office after all audits plus 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

35. **FRINGE BENEFITS FILE**. Information concerning fringe benefits which are available to employees.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

36. **GRIEVANCE FILE**. Records concerning disputed employee grievances. Includes initial complaint, investigations, actions, summary and disposition. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after resolution if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

37. **HEALTH INSURANCE FILE**. Completed claim forms and other records concerning employees covered by health plans. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

38. **INCREMENTS FILE**.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

39. **INTERNSHIP PROGRAM FILE**. (Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of student records).

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

40. **JOB EVALUATION DESCRIPTION FILE.** Forms used to evaluate primary purpose of a job.

**DISPOSITION INSTRUCTIONS:** Destroy in office when administrative value ends.

41. **LEAVE FILE.** Records concerning leave by municipal personnel. File may include leave requests, monthly leave reports, yearly leave recapitulations and related correspondence. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

**DISPOSITION INSTRUCTIONS:** Destroy in office after 5 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

42. **LEAVE WITHOUT PAY FILE.** Records concerning leave without pay by municipal personnel. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

**DISPOSITION INSTRUCTIONS:** Destroy in office 5 years after return of employee or termination of employment.

43. **LONGEVITY PAY REQUESTS.** Supporting documents concerning employees eligible for longevity pay. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

**DISPOSITION INSTRUCTIONS:** Destroy in office when released from all audits.

44. **MERIT FILE.** Information used by supervisors to evaluate employees being considered for a merit increase. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

**DISPOSITION INSTRUCTIONS:** Destroy in office after 2 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

45. **MILITARY LEAVE FILE.** (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

**DISPOSITION INSTRUCTIONS:** Destroy in office after 2 years.

46. **PAYROLL DEDUCTIONS/AUTHORIZATIONS FILE.** Authorization for employee payroll deductions.

**DISPOSITION INSTRUCTIONS:** Destroy in office after payment or when employee chooses not to continue payroll deductions.

47. **PAY PLANS FILE.** Plans or schedules and similar records relating to wage and salary rates.

**DISPOSITION INSTRUCTIONS:** Destroy in office when superseded or obsolete.

48. **PERSONNEL JACKET (OFFICIAL COPY).** Official copy of personnel file maintained on each agency employee. File includes personnel action forms and records relating to the selection or non-selection, promotion, transfer, leave, salary, suspension, and termination of employment. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

**DISPOSITION INSTRUCTIONS:** Destroy in office 30 years from date of separation. See also **EMPLOYEE MEDICAL RECORDS** item 24 page 56.

49. **PERSONNEL RECORDS (REFERENCE COPY).** Duplicate copy of official personnel jacket that is often maintained below the department level. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

DISPOSITION INSTRUCTIONS: Transfer to Personnel Office for review and disposal following separation.

50. **POLICIES AND PROCEDURES (PERSONNEL)**. Personnel rules, regulations, or guidelines established by the state Personnel Commission, Office of State Personnel, or municipal agency.

DISPOSITION INSTRUCTIONS:

- a) Retain official copy of internal agency personnel policies permanently.
- b) Destroy reference copies and external policy procedures when superseded or obsolete.

51. **POSITION CLASSIFICATION– POSITION HISTORY FILE**. Records concerning classification and complete history of salaried positions. File may include reports, memoranda, job analysis, selection criteria, and comparable records documenting the development, modification, and/or redefinition of each job or position.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

52. **POSITION DESCRIPTION RECORDS**. Includes information on job title, grade, duties, agency assigned, duties and responsibilities.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

53. **POSITION REQUISITION AND ANALYSIS RECORDS**. Records used to fill vacant positions and request new positions.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

54. **POSITION CONTROL CARDS**. Data concerning personnel actions and position control showing status of each established permanent/full-time position.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

55. **SALARY SURVEY RECORDS**.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

56. **SERVICE AWARDS FILE**. List of employees eligible for and receiving awards.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years from date of award.

57. **TEMPORARY EMPLOYEE RECORDS**. Records concerning temporary employees who were not provided, or eligible for benefits. Does not include personnel records created for specific federal programs. (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

DISPOSITION INSTRUCTIONS: Destroy in office 1 year from date of separation.

58. **UNEMPLOYMENT COMPENSATION CLAIMS**. Claim form and other related records concerning employment compensation cases. (Comply with applicable provisions of G.S. §160-168 and §132-1.1 regarding confidentiality of personnel records).

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

59. **UNEMPLOYMENT COMPENSATION REPORTS.** Quarterly reports showing month-to-date wages, month-to-date compensation, year-to-date wages, and year-to-date compensation for each employee. May be filed with Employment Security Commission.

**DISPOSITION INSTRUCTIONS:** Destroy in office after all audits plus 3 years.

60. **UNEMPLOYMENT INSURANCE FILE.** (Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records).

**DISPOSITION INSTRUCTIONS:** Transfer original records to the Department of Commerce, Unemployment Insurance Division, when received. Destroy in office remaining records after 2 years.

61. **WORK PLANNING AND PERFORMANCE REVIEW FILE.** Comply with applicable provisions of G.S. §160-168 regarding confidentiality of personnel records.

**DISPOSITION INSTRUCTIONS:** Destroy in office after 3 years.

62. **WORKERS' COMPENSATION PROGRAM (ADMINISTRATIVE) FILE.**

**DISPOSITION INSTRUCTIONS:**

- a) Transfer original to the Personnel Office.
- b) Destroy in office reference copy when administrative value ends.

63. **WORKERS' COMPENSATION PROGRAM CLAIMS FILE.** Records concerning workers' compensation claims filed by employees' supervisors concerning accidental injuries or illnesses suffered on the job. File includes Employer's Report of Injury to Employee (Form 19), accident investigation reports, medical reports, reference copies of medical invoices, and other related records. File also includes reference copies. (Records concerning claims filed for injuries, which occurred prior to July 5, 1994 are considered permanent records in compliance with Hyler v. GTE Prods. Co., 333 N. C. 258 S.E.2d 698 (1993).) (Comply with applicable provisions of G.S. §8-53, 97-92(b), and §160-168 regarding the confidentiality of personnel records.) Portions of file may be considered confidential in accordance with G.S. §97-92(b).

**DISPOSITION INSTRUCTIONS:**

- a) Retain in office permanently records concerning claims filed for injuries which occurred prior to July 5, 1994. Transfer official copy of claim records to the Industrial Commission in compliance with G.S. §97-92(a), and in accordance with county personnel office. Retain in office permanently records concerning claims filed for injuries which occurred on or after July 5, 1994, for which the Industrial Commission form "Employee's Claim for Additional Medical Compensation Pursuant to N.C. Gen. Stat. §97-25.1" (Form 18M) has been filed. Destroy remaining records in office 5 years after closing, in accordance with G.S. §97-24(c), if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.
- b) If official action has been initiated, transfer to the Worker's Litigation File, in Standard-3. Legal Records, item 17.